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Attorney Docket No.
D/A21241

on 11/21/03
Date

Lisa Andreassen
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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of Dirk Balfanz et al.

Group Art Unit: Not Yet Assigned

Application No.: 10/656,550

Examiner: Not Yet Assigned

Filed: 9/5/2003

For: METHOD AND APPARATUS FOR ESTABLISHING AND USING A SECURE CREDENTIAL INFRASTRUCTURE

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

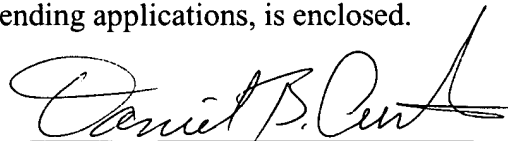
Sir:

INFORMATION DISCLOSURE STATEMENT

Pursuant to 37 C.F.R. 1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) and information listed on the attached PTO-1449 Form. One legible copy of each is attached to the PTO-1449 Form, except for U.S. Patents or published U.S. applications. It is respectfully requested that the references and information be expressly considered during the prosecution of this application, and that the reference(s) be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

- ☒ 1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date of the above application (which is not a CPA), **OR** (b) before the mailing date of a first Office Action on the merits. *No certification or fee is required.*
- ☐ 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date **AND** after the date of the first Office Action on the merits, but before the mailing date of a Final Rejection, Notice of Allowance, or other action that closes prosecution. Please debit Xerox Corporation Deposit Account 24-0025 in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p). *(A copy of this paper is attached.)*
- ☐ 3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance; **AND**
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); **(OR)**

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- ☐ 4. This Information Disclosure Statement is being filed after the mailing date of a Final Rejection or Notice of Allowance, but before the payment of the Issue Fee. Please debit Xerox Corporation Deposit Account 24-0025 in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p) (*A copy of this paper is attached*); **AND**
- ☐ a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); **(OR)**
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- ☐ 5. Per 37 C.F.R. 1.98(a)(3), a concise explanation of the relevance of each of any submitted item that is NOT in the English language is either enclosed herewith, or incorporated in the application specification.
- ☐ 6. A copy of an English language version of an above-referenced counterpart foreign application search report is attached.
- ☐ 7. Copies of some or all of the subject references were cited by, or submitted to the Office in related parent Application No. _____, filed _____, which is relied upon under 35 U.S.C. §120. Thus, copies of these references are not attached (except for copies of cited pending applications). 37 C.F.R. §1.98(d).
- ☒ 8. A copy of each copending application recited in the parent application of paragraph 7 above, and/or a copy of other related copending applications, is enclosed.



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Signature under 37 CFR 1.33 & 34

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Date 11/21/2003

Form PTO-1449

US Dept. of Commerce
PATENT & TRADEMARK OFFICEATTY DOCKET NO.
D/A21241APPLICATION NO.
10/656,550INFORMATION DISCLOSURE STATEMENT
(Use several sheets if necessary)

APPLICANT Dirk Balfanz et al.

FILING DATE 9/5/2003

GROUP ART UNIT

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE	CLASS	SUB CLASS
	5,519,778	5/21/1996	Leighton et al.	380	30
	5,539,824	7/23/1996	Bjorklund et al.	380	21
	6,064,741	5/16/2000	Horn et al.	380	285
	6,075,860	6/13/2000	Ketcham	380	25
	6,105,133	8/15/2000	Fielder et al.	713	169
	US 2001/0048744 A1	12/6/2001	Kimura	380	247
	US 2002/0061748 A1	5/23/2002	Nakakita et al	455	435
	US 2002/0094087 A1	7/18/2002	Dellmo et al.	380	270
	US 2002/0147920 A1	10/10/2002	Mauro	713	200
	US 2002/0159598 A1	10/31/2002	Rubenstein et al.	380	259
	US 2003/0014646 A1	1/16/2003	Buddhikot et al.	713	184
	US 2003/0051140 A1	3/13/2003	Buddhikot et al.	713	169
	US 2003/0081774 A1	5/1/2003	Lin et al.	380	44
	US 2003/0117985 A1	6/26/2003	Fujii et al.	370	338

FOREIGN PATENT DOCUMENTS

	COUNTRY	DOCUMENT NUMBER	PUBLICATION DATE	NAME OF PATENTEE OR APPLICANT	TRANSLATION Y/N

OTHER DOCUMENTS (Including Author (in CAPS), Title, Publication Date, Pages, etc.)

	U. S. Provisional Patent Application No. 60/480,909 entitled "Methods and Apparatus for Establishing and Using a Secure Credential Infrastructure " to Diana K. Smetters et al., filed June 24, 2003.
	U.S. Patent Application No. 10/066,699 entitled "Systems and Methods for Authenticating Communications in a Network Medium" to Dirk Balfanz et al., filed February 6, 2002.
	U.S. Patent Application No. 10/231,194 entitled "Apparatus and Methods for Providing Secured Communication" to Dirk Balfanz et al., filed August 30, 2002.
EXAMINER	DATE CONSIDERED
Examiner: Initial if citation considered, whether or not citation is in conformance with M.P.E.P. 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	